

Program Plan Content Guidance

Attachment 2

INTRODUCTION:

While the Department's Strategic Plan addresses the question of "what" is to be done and the strategies to be pursued, there needs to be a mechanism to document the "how and when" things are to be done. Additionally, this documentation must include a streamline method of showing alignment of the Department's major activities and resources against specific performance goals.

The Department's budget is structured around budget accounts. A subset of these accounts has been designated "GPRA Units". Each GPRA Unit defines a major activity or group of activities that support the core mission of the Department and thus provides a means of establishing a concrete link between the Strategic Plan's goals and the Department's annual budgets, performance metrics, and performance reporting. These programs comprise the direct activities necessary to carry out the mission of the Department. While other budget accounts exist, they are considered indirect and their costs are spread to the GPRA Units for determining the costs of accomplishing the seven general goals of the Strategic Plan. The set of GPRA Units has been negotiated with OMB and is listed in Attachment 1. The Office of Program Analysis and Evaluation is the responsible office for maintaining and updating this list.

REQUIREMENT:

Each Program Office will prepare a Program Plan for each GPRA Unit under their purview. The Program Plans will fill in the "gap" between the Department's 25-year Strategic Plan and the Department's annual performance budget by explaining in more detail how the program activities over the next 10-15 years (as appropriate) will support the Department's Strategic Plan. The flow-down will be:

Strategic Goal ^{SP}
General Goal ^{SP PP PB}
Program Goal ^{PP PB}
Objectives ^{SP PP PB}
Performance Targets ^{PP PB}

(^{SP} in the Strategic Plan; ^{PP} in Program Plans; ^{PB} in the Performance Budget)

NOTE: Some Secretarial Offices are responsible for more than one GPRA Unit and, therefore, more than one Program Plan. In this case, the Program Plans may be included in the office's Strategic Plan. However, the components of the Program Plan for each GPRA Unit must be identifiable and separable and support the planning window.

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Each Program Plan will contain the content discussed in the following sections.

- Sections 1-7 primarily focus on the planning needed to support DOE's Strategic Plan. These Sections of the Program Plan will be publicly available and updated as needed, but at a minimum they must be updated with future Departmental Strategic Plans.
- Section 8 is titled *Five Year Budget and Performance Integration Addendum*. This section will be distributed as directed by the Deputy Secretary or appropriate Under Secretary. Material in this section will be updated annually and focuses on the five year budget and performance planning window based on the "target" level, and also identifies the above target Program Planning Level (PPL) requirements.

PURPOSE:

The overall collection of Program Plans will address all program activities needed to support the Department's mission and DOE's Strategic Plan through the next 10-15 year (as appropriate for the Program) planning window. The Program Plans are where the Program Office defines what is going to be done, and that may include defining the timing and criteria for making the difficult or controversial decisions necessary to meet the over-arching goals of the Department's Strategic Plan (for example, "go/no-go" decisions on specific R&D initiatives). Therefore, Program Plans will:

- Fill the gap between the DOE Strategic Plan and the performance budget, by serving as *the basis* for aligning the budget requirements, mission, goal, objectives, performance targets, evaluation protocols, and decision points with the Department's Strategic Plan.
- Inform the budget and decision-making processes, by focusing management on planning and priority setting over a five-year planning window, prior to the review of the budget
- Serve as one of the primary supporting documents for management reviews (such as the Program Assessment Rating Tool (PART)) and audits.

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CONTENT GUIDANCE FOR A PROGRAM PLAN'S SECTIONS:

1.0 Program Name

2.0 Position Title of the Program Manager

Include: Mailing address
Email address (if applicable)
Web Sites

3.0 DOE Strategic Plan General Goal

List the applicable Strategic Plan General Goal(s)

4.0 Mission Statement and Program Goal¹

Provide a Mission Statement². These Mission Statements will be used in the FY 2006 budget. A comprehensive explanation of all the major functions and operations of the Program is not required – nor should it be necessary. *However, the Mission Statement should make the Program's purpose clear in terms of addressing a specific interest, problem, or need.* This discussion should logically lead into stating the Program Goal.

The associated, single, outcome-oriented Program Goal should identify how the Program will have a significant or unique impact in addressing the interest, problem or need discussed in the Mission Statement. The planning window for the Program Goal (and thus for the Program Plan) is 10-15 years.

5.0 Objectives and Performance Targets

Within the 10-15 year program planning window, provide a listing of the Objectives that must be achieved in order to support the Program Goal.

NOTE: An Objective is a significant outcome, output, result, or product of the program's functions and activities which is necessary to achieve the Program Goal. At a minimum, the Objectives listed in DOE's Strategic Plan for the 10-15 year planning window, selected Long-Term Performance Goals/Measures developed for the most recent PART assessment, and initiatives from your Program Secretarial Officer should be included in the Program's Objectives.

¹ Beginning in FY2006, performance information listed in the Congressional Budget Submittal must match what is listed in the Program Plan.

² For the Plans prepared in FY 2004, use the FY2005 budget text as the starting point.

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For each Objective:

- Based on an analysis of the critical path to achieve the Objective, establish Performance Targets to be used in measuring the relevant progress towards achieving the Objective. Include the Critical Decisions (CD-0, etc.) for Major Systems Projects as Performance Targets. **NOTE:** A Performance Target does not need to be created for every year spanned by the Objective.
- Establish criteria to be used during performance evaluations (see Section 6.0 below) to assess the progress towards achieving the Objectives.
- Include relevant previous performance history where appropriate.

Include a schedule (similar to the sample on page 7) for initiating and completing these Objectives and associated Performance Targets throughout the planning window. This should show (where appropriate) dependencies between the Objectives within the Department.

This section should be marked with a statement to the effect of the following: **The Objectives, Performance Targets, and schedules identified herein are for planning purposes only and do not constitute financial or contractual commitments by the Federal government.**

6.0 Program Evaluation

Provide a description of the process that will be used to evaluate progress towards achieving the Objectives and the effectiveness and relevance of the Objectives to the problem, interest, or need addressed by the Program Goal. The description should include:

- Identification of regularly scheduled, objective, independent evaluations that examine how well the program is accomplishing its mission and meeting its long-term goals.
- Identification of specific dates, conditions, etc. for which an “off-ramp” determination will be made that an activity should be discontinued because either: (a) it has been completed or (b) successful achievement of the function or activity (in terms of achieving the associated Objective) is not likely or not cost effective.
- Specific dates for these evaluations are not required. However, indicate how often (e.g., every three years) the evaluations would be scheduled.

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- Include a discussion of the change control process to ensure documentation of management approval of any changes to:
 - the Objectives
 - Performance Targets, and
 - Funding profiles.

7.0 Key External Factors

Identify any factors external to the program, Program Office, or the Department that could significantly affect the achievement of the Program's Objectives or Program Goal, and thus impact the Department's mission. Interdependencies with the activities of other Programs should also be identified. Given that the Program Plans support the Administration's budget, funding should not be shown as a constraint. Significant Congressional concerns may be discussed as a risk to the Administration's funding profile.

8.0 Five-Year Budget and Performance Integration Addendum

NOTES: This section will be distributed as directed by the Deputy Secretary or appropriate Under Secretary.

The Deputy Secretary will issue Planning Guidance, Program Budget Decision (PBD), and/or Program Budget Memorandum (PBM) to establish the funding for each PSO for the five-year planning window. From this funding profile, the PSO should identify funds for GPRA Unit activities versus funds for non-GPRA Unit activities (such as Program Direction, Safeguards & Security, non-GPRA Unit functions and activities, etc.). The resource allocation level for GPRA Unit activities is the Target Level for the GPRA Unit.

The Program Planning Level (PPL) for the GPRA Unit is the level of resources identified by the program that are necessary to achieve the Objectives and Performance Targets identified in Section 5.

This section focuses on planning over a five-year planning window. This section will be updated on an annual basis prior to the review of the budget and will include, as a minimum, the following:

Significant Program Shifts (text format): Briefly describe any major changes due to policy shifts, Presidential initiatives, or other government-wide cross-cutting initiatives which either will or could impact the Program's ability to achieve its Objectives. This discussion must be 'forward looking' and sets the stage for the performance presentation that follows.

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Resource Profile (table format preferred): Develop a resource profile by Objective to include appropriated funds for the current fiscal year and Program Planning Level requirements for the five-year planning window. Congressional earmarks for the current year and informal agreements with OMB for outyears should be highlighted. Similar information for previous fiscal years would provide background information for future funding profiles (optional).

For each fiscal year, show the sum total of PPL funds for all Objectives; the PSO-allocated Target Level funding for the overall program; and the differences between the Target Level and PPL.

Risks (text format): Discuss any technical or programmatic risks associated with achieving the Objectives, Program Goal, and General Goal at the Target Level Resources and the PPL. The table provided for the Current Resources above indicates the funding associated with earmarks. Discuss the earmarks as those that still allow for the attainment of the Program Goal and those that inhibit the attainment of the Program Goal. For the latter, state the impacts of the earmarks.

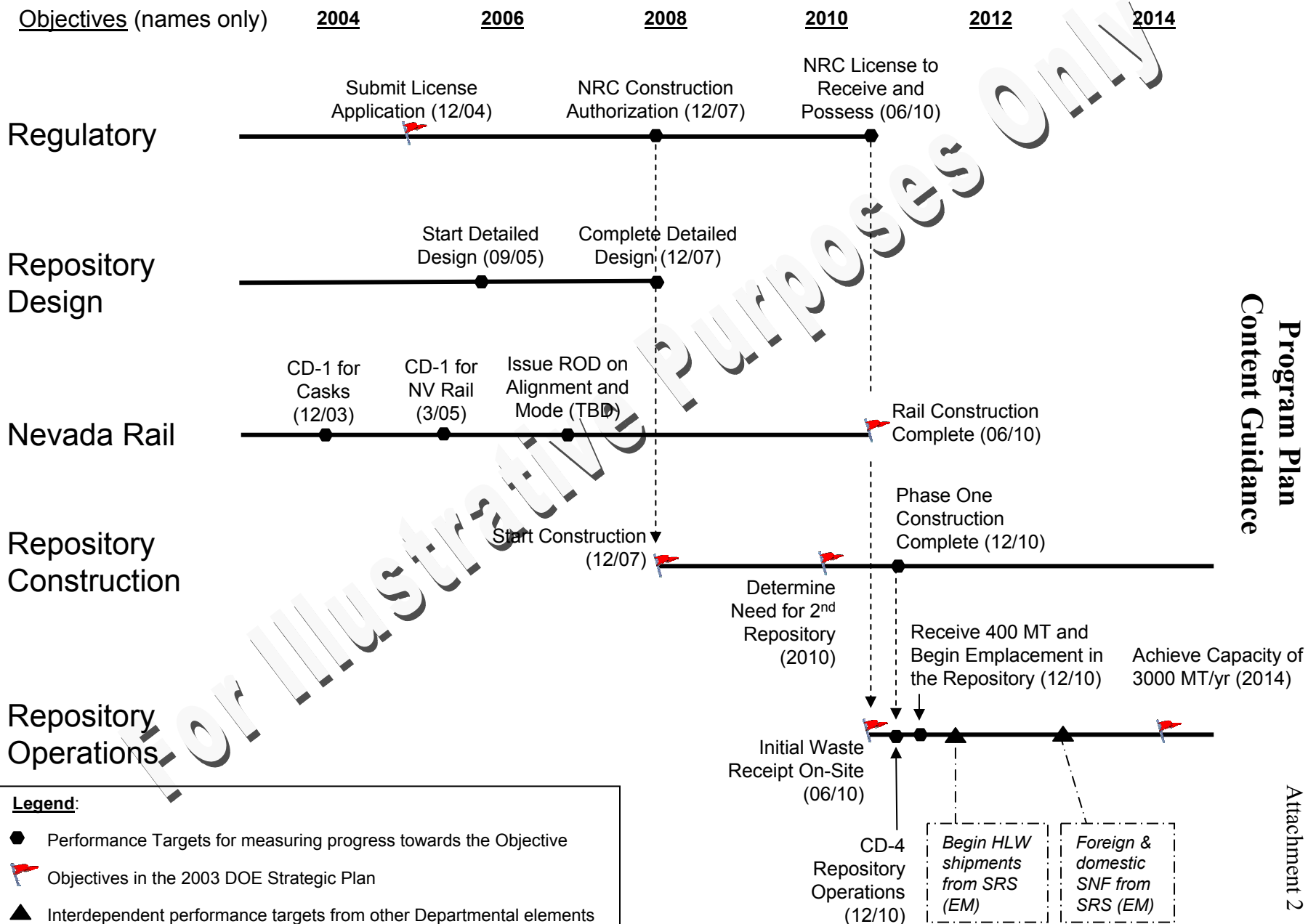
It is recognized that at the Target Level, the Objectives to be accomplished to support the Program Goal and/or the Strategic Plan during the five-year planning window may not be achievable. Therefore, discuss the impacts to the Program, in terms of level of support achievable for:

- The Department's Strategic Plan
- Administration policy shifts or Presidential initiatives
- Other government-wide cross-cutting initiatives
- Any other items identified in the Significant Program Shifts discussion above.

NOTE: A key point in the above discussion is not to focus on the upcoming budget year for the CRB. The focus should be the cumulative effect over the five year planning window.

Nuclear Waste Disposal

Office of Civilian Radioactive Waste Management (RW)



Program Plan Guidance Glossary

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General Goal (DOE): General Goals originate in the Strategic Plan. The 2003 Strategic Plan has seven General Goals for the Department.

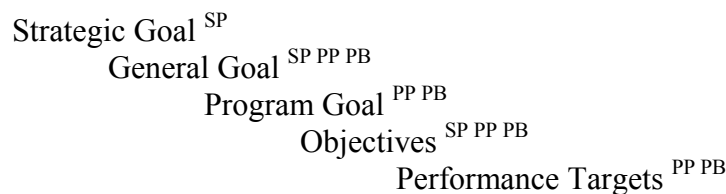
GPRA Unit: The Department's budget is structured around budget accounts. A subset of these accounts has been designated "GPRA Units". Each GPRA Unit defines a major activity or group of activities that support the core mission of the Department and thus provides a means of establishing a link between the Strategic Plan's goals and the Department's annual budgets, performance metrics, and performance reporting. These programs comprise the direct activities necessary to carry out the mission of the Department. While budget accounts exist, they are considered indirect and their costs are spread to the GPRA Units for determining the costs of accomplishing the seven general goals of the Strategic Plan. The GPRA Units have been negotiated with OMB and are listed in Attachment 1. The Office of Program Analysis and Evaluation is the responsible office for maintaining and updating this list.

Long-Term Performance Goal/Measure: The term is from OMB's Program Assessment Reporting Tool (PART) identifying performance expected from the Program. Some of these are in a Program Plan's list of Objectives.

Objective: An Objective is a step that must be achieved within the planning window to achieve a Goal, whether the goal is a DOE General Goal or a Program Goal. Objectives in the Strategic Plan demonstrate progress toward the associated General Goal. The 2003 Strategic Plan has 65 objectives supporting the seven DOE General Goals. In a Program Plan, an Objective is a significant outcome, output, result, or product of the Program's functions and activities that is necessary to achieve the Program Goal. Objectives in a Program Plan include, at a minimum, the Program's Objectives listed in the Strategic Plan for the Program's General Goal that are in the program planning window, the Long-Term Performance Goals/Measures developed for the most recent PART assessment, and anticipated Critical Decisions for Major Systems Projects.

Performance Budget: Integrated annual budget and annual performance plan.

Performance Management Framework: The top-down relationship of performance terms from the Strategic Plan through Program Plans to Annual Performance Budgets:



(^{SP} in the Strategic Plan; ^{PP} in Program Plans; ^{PB} in the Performance Budget)

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Performance Target: Performance Targets are measures of program/subprogram outputs for a specific fiscal year toward Objectives. In the Performance Plan, there do not have to be Targets for every year. Targets in the Program Plan for the fiscal years addressed in the Performance Budget are included in the Performance Budget. The Performance Targets in the Performance Budget are tracked in Joule and their results are reported to the Management Council quarterly.

Program Evaluation: Program Evaluation is defined by OMB as an assessment, through objective measurement and systematic analysis, of the manner and extent to which Federal programs achieve intended objectives. A description of the process that will be used to evaluate progress towards achieving the Objectives, and effectiveness and relevance of the Objectives to the problem, interest, or need addressed by the Program Goal. When incorporated in performance budgets, this information must have an audit trail.

Program Goal: Each GPRA Unit has a single, outcome-oriented Program Goal that should identify the end state that the Program will create to address the interest, problem, or need discussed in the Program Mission Statement. The timeframe for the Program Goal is 10-15 years out (i.e., achieved by 2014-2019).

Program Mission Statement: The Program Mission Statement should make the Program's purpose clear in terms of addressing a specific interest, problem, or need. This discussion should logically lead into stating the Program Goal. Mission statements describe why the program is in business. Comprehensive explanations of all the major functions and operations of the Program are not required.

Program Planning Level (PPL): The level of resources identified by the program that are necessary to achieve the Objectives and Performance Targets.

Strategic Goal: Strategic Goals originate in the Strategic Plan. Strategic Goals address what the Department will pursue over the next 25 years at a high level. There are four Strategic Goals for the Department.

Target Level Resources: The GPRA Unit resource level established by the PSO based on the Deputy Secretary's guidance, with funds set aside for non-GPRA Unit activities such as program direction, safeguards and security, etc.